SECTION 1: POINTS OF CONTACT

1. Has your country established a National Coordination Agency or other body responsible for policy guidance, research and monitoring of efforts to prevent, combat and eradicate the illicit trade in SALW in all its aspects?

   a) Name of agency: Botswana National Focal Point on Small Arms and Light Weapons
   b) Address: Private Bag 0012 Gaborone, Botswana
   c) Contact details:
      i) Contact person: Mr Victor Brunoh Paledi
      ii) Telephone number(s): +267 3622102
      iii) Fax number: +267 3973723
      iv) Email: vpaledi@gov.bw

2. Does your country have a National Point of Contact designated to act as a liaison on matters relating to the implementation of the UN Programme of Action on Small Arms (PoA)?

   a) Name: Mr Victor Brunoh Paledi
   b) Organization or agency: Botswana National Focal Point on Small Arms and Light Weapons
   c) Address: Private Bag 0012 Gaborone, Botswana
   d) Telephone number(s): +267 3622102
   e) Fax number: +267 3973723
   f) Email: vpaledi@gov.bw

3. Is the National Point of Contact identified above also responsible for exchanging information and liaising on matters relating to the International Tracing Instrument (ITI)?

   Yes

SECTION 2: MANUFACTURE

4. Are there any SALW manufactured in your country?

   No

SECTION 3: INTERNATIONAL TRANSFERS

5. Does your country wish to request assistance in developing laws, regulations and/or administrative procedures regarding SALW manufacture?

   No

6. Does your country have laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?

   Yes

   According to the Arms and Ammunition Act (CAP 24:01) all transactions must be accompanied by a permit authorising such.

   The United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons (UNPoA). SADC Protocol on the Control of Firearms, Ammunition and Other Related material

6.1. List laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW.

6.2. Does a person or an entity who transfers SALW require a licence or other form of authorisation to transfer SALW from/into your country?

   Yes

6.3. Is it a criminal offence to trade SALW without a licence or authorisation, or to do so in a manner that is in contradiction to the terms of a licence or authorisation, in your country?

   Yes

6.4. Name the relevant international commitments that your Government applies or considers when assessing an application for export authorisation.

   The United Nations Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons (UNPoA). SADC Protocol on the Control of Firearms, Ammunition and Other Related material

6.5. What kind of documentation does your country require prior to authorising an export of SALW to another country?

   a) An end-user certificate (EUC) from the importing country
i) What elements does an end-user certificate in your country contain (check relevant boxes)?

1) Detailed description (type, quantity, characteristics) of the SALW or technology
2) Contract number or order reference and date
3) Final destination country
4) Description of the end-use of the SALW
5) Exporter’s details (name, address and business name)
6) End-user information (name, position, full address and original signature)
7) Information on other parties involved in the transaction
8) Certification by the relevant government authorities of the authenticity of the end-user
9) Date of issue
10) Other

In addition to the End user certificate the application must be accompanied by a permit issued by the relevant authority which authorises such a transfer.

b) Other types of end-user documentation

6.6. When exporting, does your country places any restriction on re-export of SALW?

If so, what are the restrictions placed on re-export?

a) Re-export permitted only when there is prior notification
b) Re-export permitted only when there is prior approval

6.7. Does your country verify or seek to authenticate EUCs or other types of end-user documentation provided?

6.7.1 Details:

Since Botswana does not produce/manufacture arms the EUC requirements stated above applies when dealing with arms importing entities.

6.8. Does your country have measures in place aimed at preventing the forgery and misuse of EUCs or other types of end-user documentation?

6.8.1 Details:

All EUC are verified with the issuing/relevant entities prior to authorisation of such transactions.

6.9. Does your country permit the export of SALW without a licence or under simplified procedure under certain circumstances?

6.10. When exporting, does your country require a Delivery Verification Certificate (DVC) to confirm that SALW have reached their intended end-user or intended importer in the importing State?

6.11. After exporting, does your country verify or seek to authenticate DVCs provided?

6.12. When importing, does your country grant the right to the exporting State to conduct a physical check at the point of delivery?

6.13. Does your country require that SALW imported into your country be marked at the time of import?

6.13.1. Who is required to mark the SALW?

It is a requirement that producers mark the arms at the time of manufacturing.

6.13.2. What information is included in the marking on import (check relevant boxes)?

a) Country of import
b) Year of import
c) Other

d) Serial number

6.13.3. Are there exceptions to the requirement to mark imported SALW?

6.13.4. If marked SALW imported into your country do not bear a unique marking when they arrive, does your country require that they be given such a marking?

6.13.4.1 Details:

Botswana has acquired marking machines so we are in the process of marking the arms with import marking as per the International Tracing Instrument. As such all those imported with a unique marking will be given a unique quote that identifies it.

6.14. Does your country require that exporters and importers of SALW keep records of their activities?

6.14.1. What information must be recorded (check relevant boxes)?

a) Quantity of SALW traded
b) Type or model of SALW traded
c) Markings appearing on transferred SALW
d) Transactions
i) Identity of buyer/seller
ii) Country SALW are to be delivered to or purchased from
iii) Date of delivery
e) Other The information relates to importers only since Botswana does no manufacture arms

6.14.2. How long must records of transfers be kept?

Indefinitely

Sources Actions taken during the reporting period

PoA II.6

6.15. During the reporting period, was action taken against groups or individuals engaged in transferring SALW illegally (e.g. prosecution)?

No

International assistance

PoA III.6

7. Does your country wish to request assistance in developing laws, regulations or administrative procedures to exercise effective control over the export, import, transit or retransfer of SALW?

No

SECTION 4: BROKERING

Sources Laws, regulations and administrative procedures

PoA II.14

8. Does your country have laws, regulations and/or administrative procedures governing brokering of SALW?

Yes

8.1. List laws and/or administrative procedures regulating SALW brokering in your country. It is a requirement that all brokering activities must be accompanied by a licence to undertake such.

8.1.1 Are those laws and procedures part of the national arms export control system?

Yes

8.2. Does your country require registration of SALW brokers?

Yes

8.3 Does your country require a licence, permit or other authorisation for each brokering transaction?

Yes

8.3.1. Are such applications for a licence, permit or other authorisation considered for approval on a case-by-case basis?

Yes

8.3.2. Are there exceptions to the requirement to hold a licence or authorisation for a brokering transaction?

No

8.3.2.1. Details (e.g. if the transaction is on behalf of the police or armed forces or other government officials)

Yes

8.3.3. What are the criteria for granting a licence, permit or other authorisation?

Those who engage in brokering activities must be registered with the relevant authority. Application for a permit to import must be supported by documents issued by those the broker is acting on their behalf.

8.4 Does your country have measures to validate the authenticity of documentation submitted by the broker?

No

8.5 Is it a criminal offence in your country to engage in a SALW brokering transaction without a licence or authorisation, or to do so in a manner that is in contradiction to the terms of a licence or authorisation?

Yes

8.6 Does your country allow for sharing with other States such information as the disbarment of brokers and revocation of registration?

Yes

8.7 Does your country regulate activities that are closely associated with the brokering of SALW?

Yes

8.7.1. If so which of the following activities are regulated when undertaken in connection with the brokering of SALW (check relevant boxes)?

- Acting as dealers or agents
- Providing technical assistance
- Training
- Transport
- Freight forwarding
- Storage
- Finance
- Insurance
- Maintenance
- Security
- Other services

8.8 What penalties or sanctions does your country impose for illegal brokering activities?

Arms imported by those engaging in illegal brokering activities are prosecuted and the arms destroyed accordingly.

Sources Actions taken during the reporting period

PoA II.14

8.8.1. Does your country has any measures to monitor the compliance of the above regulations?

No

GGE Report para 44

8 8.2. What are the criteria for granting a licence, permit or other authorisation?

Those who engage in brokering activities must be registered with the relevant authority. Application for a permit to import must be supported by documents issued by those the broker is acting on their behalf.

8.4 Does your country have measures to validate the authenticity of documentation submitted by the broker?

No

8.5 Is it a criminal offence in your country to engage in a SALW brokering transaction without a licence or authorisation, or to do so in a manner that is in contradiction to the terms of a licence or authorisation?

Yes

8.6 Does your country allow for sharing with other States such information as the disbarment of brokers and revocation of registration?

Yes

8.7 Does your country regulate activities that are closely associated with the brokering of SALW?

Yes

8.7.1. If so which of the following activities are regulated when undertaken in connection with the brokering of SALW (check relevant boxes)?

- Acting as dealers or agents
- Providing technical assistance
- Training
- Transport
- Freight forwarding
- Storage
- Finance
- Insurance
- Maintenance
- Security
- Other services

8.8 What penalties or sanctions does your country impose for illegal brokering activities?

Arms imported by those engaging in illegal brokering activities are prosecuted and the arms destroyed accordingly.
8.9 During the reporting period, was action taken against groups or individuals engaged in illegal brokering (e.g. prosecution)?

No

SECTION 5: STOCKPILE MANAGEMENT

10. Does your country have standards and procedures relating to the management and security of SALW held by the armed forces, police or any other entity authorised to hold SALW?

Yes

10.1. If so, which of the following provisions are included in these standards and procedures (check relevant boxes)?

| a) Appropriate locations for stockpiles | ☑ |
| b) Physical security measures | ☑ |
| c) Control of access to stocks | ☑ |
| d) Inventory management and accounting control | ☑ |
| e) Staff training | ☑ |
| f) Security, accounting and control of SALW held or transported by operational units or authorised personnel | ☑ |
| g) Procedures and sanctions in the event of theft or loss | ☑ |
| h) Other | ☐ |

10.2. Are there systems in place to conduct reviews of SALW stocks held by armed forces, police and other authorised entities to identify surplus or obsolete SALW?

Yes

10.3. How often/frequently are these reviews conducted?

The reviews are done on regular basis.

10.4. When stocks are identified as surplus, what actions does your country take with regard to the surplus (check relevant boxes)?

| a) Officially declare as surplus | ☐ |
| b) Take out of service | ☐ |
| c) Record by type, lot, batch, and serial number | ☐ |
| d) Store separately | ☐ |
| e) Other | ☐ |

10.5. In disposing of the surplus stocks, which of the following methods may be used (check relevant boxes)?

| a) Destruction | ☐ |
| b) Sale to another State | ☐ |
| c) Donation to another State | ☐ |
| d) Transfer to another state agency | ☐ |
| e) Sale to civilians | ☐ |
| f) Sale or transfer to legal entities (e.g. museums, private security companies, etc.) | ☐ |
| g) Other | ☐ |

10.6. During the reporting period, has your country destroyed surplus stocks?

No
11. Does your country wish to request assistance in developing standards and procedures on stockpile management?

No

12. Does your country wish to request assistance in developing capacity for the destruction of weapons?

No

SECTION 6: CONFISCATION, SEIZURE & COLLECTION

13. During the reporting period, has your country found, seized or confiscated any SALW under its jurisdiction?

Yes

13.1 How many SALW were found, seized or confiscated?

A total of 661 firearms were found, seized or voluntarily surrendered

13.2. What action was taken with respect to the SALW found, seize or confiscated (check relevant boxes)?

- Stored securely pending further action
- Marked
- Registered or recorded
- Destroyed
- Other

14. During the reporting period, did your country collect any SALW?

No

SECTION 7: MARKING AND RECORD KEEPING

17. Does your country enforce measures to prevent the manufacture, stockpiling, transfer and possession of any unmarked or inadequately marked SALW?

Yes

17.1. Details

Arms imported must be marked and records of such kept indefinitely

18. Does your country take measures to ensure that all SALW in the possession of government armed and security forces for their own use are duly marked?

Yes

18.1. Describe the markings that are applied to government-held stocks.

At the time of import, all arms are engraved with the following markings: Country code, year of marking/import, serial number, departmental code. The departmental code is meant for tracing firearms to a particular department.

18.2. When government stocks are transferred to civilians or private companies in your territory, are such stocks marked to indicate that your government transferred the stocks?

--- Select ---

19. Does your country encourage manufacturers of SALW to develop measures against the removal or alteration of markings?

--- Select ---

20. Does your country have standards and procedures related to keeping of records for all marked SALW in its territory?

Yes

20.1. What records relating to SALW are kept by the State (e.g. manufacturing, brokering, import and export

--- Select ---
licences granted, sales to other States, SALW held by State agencies such as the armed forces etc)?

All arms in state and civilian possession.

ITI 12 a,b

20.2. How long does the government keep such records?

Indefinitely

ITI 13

20.3. In the event that they go out of business, are companies engaged in SALW activities (e.g. manufacturing, importing, exporting etc) required to submit all records held by them to the government?

ITI

21. Does your country wish to request assistance in building capacity for record-keeping?

ITI 13

21.1. What kind of assistance do you require?

Computerization of the Central Arms Registry. Currently records are kept manually. A proposal for the computerisation of the arms registry has been submitted with Programme of Action Implementation Support System (PoA-ISS).

ITI 14, 24

21.2. Has your country developed a project proposal for assistance?

ITI 27

SECTION 8: INTERNATIONAL TRACING

ITI II.10; ITI II.10

22. Does your country have procedures in place to trace SALW?

ITI 31

22.1 Has your country ever issued an international tracing request regarding SALW?

ITI 25, 31a

22.2. Which government agency is responsible for making a tracing request to another country?

Interpol National Central Bureau, Gaborone Botswana. The office is housed under the Botswana Police Service

ITI 17

22.3. What information does the designated agency include in a tracing request? (check relevant boxes)

a) Circumstances under which the SALW was found
b) Reasons why the SALW is considered to be illegal or illicit
c) The intended use of the information being sought
d) Any markings on the SALW
e) Type/calibre of SALW
f) Other

ITI 15

22.4. When receiving information related to SALW as a result of your country's tracing request, does your country have procedures in place to ensure that all restrictions placed on its use are respected, and the confidentiality of such information is guaranteed?

ITI II.36; III.6; ITI 27

23. During the reporting period, has your country cooperated on the issue of tracing SALW with the International Criminal Police Organization (INTERPOL) ?

ITI 35a

23.1 If so, in which areas?

a) Facilitation of tracing operations conducted within the framework of the ITI
b) Investigations to identify and trace illicit SALW.
c) Building national capacity to initiate and respond to tracing requests.

ITI 35c

PoA III.9

23.2. Does your country use the INTERPOL's Firearms Tracing System (formerly known as IWeTS) for tracing SALW?

ITI II.37; ITI 33

24. During the reporting period, do you consider it necessary to request assistance in developing procedures to trace SALW?
24.1. What kind of assistance do you require?  
Assistance in Capacity building on the use of the Interpol Illicit Arms Records and Tracing Management System (iARMS) that Botswana has just installed.

24.2. Has your country developed a project proposal for assistance?  
No

25. Has your country considered providing assistance to examine technologies to improve the tracing and detection of illicit SALW?  
No

SECTION 9: INTERNATIONAL COOPERATION & ASSISTANCE

SOURCES Assistance requested / received / provided

26. During the reporting period, in addition to the assistance requested/received mentioned in the Sections 2-8 above, has your country requested / received / provided assistance to implement the PoA and ITI?  
No

Any further comments on PoA and ITI, including implementation challenges and opportunities?
1. Financial constraints - Botswana could benefit from assistance to strengthen at borders and/or implement necessary programmes. Fully. 2. Lack of the required technological and human resource and institutional capacity to adequately patrol and monitor porous border lines. 3. Lack of resources - there is difficulty in providing law enforcement officers with equipment that will ensure full implementation of the ITI. 4. No online database that can assist in effective tracing thus successful implementation of the ITI.

Additional information may be uploaded/attached, if necessary:

SECTION 10: VIEWS AND INFORMATION TO BE SUBMITTED

27. In the 2012 Review Conference Outcome document on the International Instrument to Enable States to Trace, in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons (International Tracing Instrument), States undertook to “provide further information in their national reports, and to request the Secretary-General to submit an initial report, drawing on views of States, on experiences on the following issues, for their consideration at relevant future meetings decided upon at this Conference” (A/CONF.192/2012/RC/4, Annex II, B. 3(g)):

a) The implications of recent developments in small arms and light weapons manufacturing, technology and design for effective marking, record-keeping and tracing;
Not being manufacturers, there is no information available on marking practices not being a manufacturer, Botswana purchases arms that marked are prior to importation and import markings are engraved thereafter.

b) Practical steps to ensure the continued and enhanced effectiveness of national marking, record-keeping and tracing systems in the light of such developments;
Botswana is in the process of reviewing the Arms Legislation and the amendment will address requirements covered by the ITI especially with regard to marking. Also, Botswana has acquired two marking machines that are used to engrave import markings as per articles in the ITI. In an endeavour to trace illegal arms, Botswana has installed the following INTERPOL Firearm databases 1. Interpol Illicit Arms Records and Tracing Management System (iARMS) 2. Interpol Ballistic Information Network (IBIN)

C) Relevant practices in relation to international assistance and capacity-building, including ways to support the transfer, uptake and effective utilization of relevant tools and technologies.

Additional information may be uploaded/attached, if necessary:

28. Pursuant to paragraph 31 of the International Tracing Instrument, States will provide the Secretary-General with the following information, updating it when necessary:

a) National marking practices related to marking used to indicate country of manufacture and/or country of import as applicable.
Botswana has acquired two marking machines which is used to engrave import markings as per articles in the ITI. The machines were acquired through the sponsorship of the US State Department on Politics. So far all arms in state possession have been marked, this is in-exemption of those held by the military. Process to starting marking arms in civilian possession will resume once the Arms law has been reviewed/amended.

Additional information such as images and illustrations may be uploaded/attached, if necessary:

Note: Relevant information might have been provided in questions 4.2.1, 4.2.2 and 18.1 in this report.